

We are providing a Microsoft Word version of the revised draft Model State Plan (MSP) for CSBG state agencies to use for planning and development of their FY 2016 State plan. While OMB may require further adjustments to the MSP after they have finalized their review (currently undergoing), this document is the final clearance version.

Community Services Block Grant (CSBG) Model State Plan

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Mandatory Grant Application SF-424

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SECTION 1

CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency

Tennessee Department of Human Services

1.1b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Services Department
- ☒ **Human Services Department**
- ☐ Social Services Department
- ☐ Governor's Office
- ☐ Community Affairs Department
- ☐ Other, describe: **[Narrative, 2500 characters]**

1.1c. Division, bureau, or office of the CSBG authorized official

Tennessee Department of Human Services

1.1d. Authorized official of the lead agency

Dr. Raquel Hatter, Commissioner

Instructional note: The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3). The authorized official is the person indicated as authorized representative on the SF-424M.

1.1e. Street address **400 Deaderick Street**

1.1f. City **Nashville**

1.1g. State **TN**

1.1h. Zip **37248**

1.1i. Telephone number and extension **615-313-4700**

1.1j. Fax number **615-741-4165**

1.1k. Email address **Raquel.Hatter@tn.gov**

1.1l. Lead agency website <http://tn.gov/humanservices/>

1.2. Provide the following information in relation to the designated State CSBG point of contact.

Instructional Note: The State CSBG point of contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency name **Tennessee Department of Human Services**

1.2b. Name of the point of contact **Mamawah L. Hill**

1.2c. Street address **400 Deaderick Street**

1.2d. City **Nashville**

1.2e. State **TN**

1.2f. Zip **37248**

1.2g. Point of contact telephone number **615-313-5451**

1.2h. Fax number **615-313-4929**

1.2i. Point of contact email address **Mamwah.Hill@tn.gov**

1.2j. Point of contact agency website <http://tn.gov/humanservices/>

1.3. **Designation Letter:** Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. **[Attach a document]**

Instructional Note: The letter should be from the chief executive officer of the State and include, at minimum, the designated State CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

SECTION 2

State Legislation and Regulation

- 2.1. CSBG State Legislation:** Does the State have a statute authorizing CSBG? ☐ Yes ☒ No
- 2.2. CSBG State Regulation:** Does the State have regulations for CSBG? ☐ Yes ☒ No
- 2.3.** If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate. **[Attach a document and/or provide a link]**
- 2.4. State Authority:** Select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a.** Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes ☒ No
- 2.4b.** Did the State establish or amend regulations for CSBG last year? ☐ Yes ☒ No
- 2.4c.** Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? ☒ Yes ☐ No

SECTION 3

State Plan Development and Statewide Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG lead agency.

Mission: To offer temporary economic assistance, work opportunities, and protective services to improve the lives of Tennesseans.

Other facts about the Tennessee Department of Human Services:

- Services provided by the Department of Human Services are offered across the state in convenient office locations in all ninety-five (95) counties.
- The Tennessee Department of Human Services is committed to being customer-oriented, promoting self-sufficiency, improving the quality of services and bundling effective partnerships.
- The Tennessee Department of Human Services Adheres to the Disciplines of a Learning Organization
- The Tennessee Department of Human Services is responsible for a variety of functions, including but not limited to, administering the SSBG (Social Service Block Grant), Families First program (TANF), providing SNAP, Summer Food Program (SFP), regulating child care centers, managing child support services, and providing a wide range of services to Tennesseans with disabilities, among other programs.

- 3.2. State Plan Goals:** Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

Vision: To be a leader in effectively partnering with human service customers in establishing or re-establishing self-sufficiency to create a better quality of life.

Core Values: Mission-Driven, Customer-Focused, Respect & Integrity, Compassion, Accountability & Responsibility

Tennessee Department of Human Services will:

- Maintain the trust of our customers, partners, and the public by demonstrating excellence in service delivery, results, and effective fiscal stewardship.
- Operate from a strength perspective.
- Operate in a manner that reflects the importance of public-private partnerships in human service.
- Maintain ongoing efforts to be a learning organization.
- Be transparent, agile, innovative, and responsive.
- Engage employees and customers as strategic partners.
- Recruit, retain, and reward high performing employees.

In Tennessee, all ninety-five (95) counties are allocated CSBG funding. A state map delineating agency responsibility by county is available through the CSBG website: <http://tn.gov/humanservices/article/community-services-block-grant>

The overall program goals for CSBG are:

- (1) to provide a range of services and activities having a measurable and potentially major impact on the causes of poverty in the community or those areas of the community where poverty is a particularly acute problem;
- (2) to provide activities designed to assist low-income participants including the elderly poor;
- (3) to provide on an emergency basis such supplies and services, nutritious food products/items, and related services, as may be necessary to counteract conditions of starvation and malnutrition among the poor;
- (4) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals; and
- (5) to encourage the use of entities in the private sector of the community in efforts to relieve or remedy poverty conditions in the community.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and may pre-populate the State’s annual report form.

3.3. State Plan Development: Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that applies and narrative where applicable]

- ☐ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☐ U.S. Census data
- ☐ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☐ Other data (describe) [Narrative, 2500 characters]
- ☐ Eligible entity community needs assessments
- ☐ Eligible entity plans
- ☐ Other information from eligible entities, e.g., State required reports (describe)
 - CSBG Monthly Client Service Report

3.3b. Consultation with [Check all that applies and narrative where applicable]

- ☐ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

- ☐ **State community action association and regional CSBG T & TA providers**
- ☐ State partners and/or stakeholders (describe) [Narrative, 2500 characters]
- ☐ **National organizations (describe) CAP, NASCSP, OCS**
- ☐ Other (describe) [Narrative, 2500 characters]

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

On May 7, 2015 our Department sent an email in preparation of the Tennessee Association of Community Action (TACA) seeking input and feedback on the Model State Plan from eligible entities during the May 11, 2015. On May 19, 2015 a follow-up email was sent to each of the eligible entities for their input and feedback. On May 29, 2015 Kreda Yokley, TACA, provided our department their collective feedback. On July 1, 2015 following a discussion with Kreda Yokley, TACA, and continued feedback was sought from the eligible entities. On July 30, 2015 the Model State Plan was emailed to the eligible entities. We are currently in the process of seeking their feedback, which is due by August 15, 2015.

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment: How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. [Narrative, 2500 Characters]

Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction: Provide the State's target for eligible entity Overall Satisfaction during the performance period: _____. [Numerical, 3 digits]

Instructional Note: The State's target score will indicate improvement or maintenance of the States' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the State's eligible entities. (See information about the ACSI in the CSBG State Accountability Measures document.)

This version of the MSP is currently under review by OMB, which may result in additional edits.

Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the State's annual report form.

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SECTION 4

CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

Public inspection of the plan was made available through a news release through the Department _____ on the State of TN website. A copy of the draft plan was posted on the State's website for review or comment. In addition, the plan was made available to the eligible entities via email with an invitation to the public hearing. A comment period followed.

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

The FY 2015 Public Hearing was held on _____ at the Citizen's Plaza Building in Nashville, TN. Notification was given on _____, via the Department's website. Individuals were additionally advised that written comment on the plan would be accepted until the close of business on _____ of those not able to attend the hearing or who had additional comments to submit following the hearing.

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail).

Instructional Note: The date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal fiscal year covered by this plan.

Date	Location	Type of Hearing [Select an option]
March 7, 2013	The House Finance Ways and Means Committee.	<ul style="list-style-type: none"> Public Legislative Combined
August 24, 2015	Citizen's Plaza Nashville, TN	<ul style="list-style-type: none"> Public Legislative Combined
ADD a ROW function Note: rows will be able to be added for each additional hearing		

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings. [Attach a document or provide a hyperlink.]

SECTION 5

CSBG Eligible Entities

- 5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
[Narrative, 2500 characters]	[Select Public or Nonprofit]	<ul style="list-style-type: none"> Community Action Agency Limited Purpose Agency Local Government Agency Migrant or Seasonal Farmworker Organization Tribe or Tribal Organization Other (describe in column 5) 	[Narrative, 2500 characters]	<p>[Narrative, 2500 characters]</p> <p>If "Other" is selected in column 3, provide further detail here</p>
ADD A ROW function Note: rows will be able to be added for each eligible entity funded in the State				
Anderson County CAC	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Anderson County	
Blount County CAC	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Blount County	
Bradley-Cleveland CSA	Non-Profit	<ul style="list-style-type: none"> Local Government Agency 	Bradley County	
Chattanooga Youth and Family Development	Public	<ul style="list-style-type: none"> Local Government Agency 	Hamilton County	
Clarksville-Montgomery County CAA	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Montgomery County	
Delta HRA	Public	<ul style="list-style-type: none"> Local Government Agency 	Fayette, Lauderdale, and Tipton Counties	
Douglas Cherokee EA, Inc.	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Cocke, Grainger, Hamblen, Jefferson, Monroe, and Sevier Counties	
Highland Rim Economic Corporation	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Dickson, Houston, Humphreys, and Steward Counties	
Knoxville-Knox County CAC	Public	<ul style="list-style-type: none"> Local Government Agency 	Knox County	
Metropolitan	Public	<ul style="list-style-type: none"> Local Government 	Davidson County	

CSBG Eligible Entity	Public or Nonprofit	Type of Entity (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
Action Commission		Agency		
Mid-Cumberland CAA	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Cheatham, Robertson, Rutherford, Summer, Trousdale, Williamson, and Wilson Counties	
Mid-East CAA	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Louden, and Roane Counties	
Mountain Valley	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Campbell, Clairborne, and Morgan Counties	
Northwest EDC	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Obion, and Weakley	
Shelby County CSA	Public	<ul style="list-style-type: none"> Local Government Agency 	Shelby County	
South Central HRA	Public	<ul style="list-style-type: none"> Local Government Agency 	Bedford, Coffee, Franklin, Giles, Hickman, Lawrence, Lewis, Lincoln, Marshall, Maury, Moore, Perry & Wayne Counties	
Southeast TN HRA	Public	<ul style="list-style-type: none"> Local Government Agency 	Bledsoe, Grundy, Marion, McMinn, Meigs, Polk, rhea, and Sequatchie Counties	
Southwest HRA	Public	<ul style="list-style-type: none"> Local Government Agency 	Chester, Decatur, Hardeman, Hardin, Haywood, Henderson, Madison, and McNairy Counties	
Upper Cumberland HRA	Public	<ul style="list-style-type: none"> Local Government Agency 	Cannon, Clay, Cumberland, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, VanBuren, Warren, and White Counties	
Upper East TN HDA	Non-Profit	<ul style="list-style-type: none"> Community Action Agency 	Carter, Greene, Hancock, Hawkins, Johnson, Sullivan, Unicoi, and Washington Counties	

5.2. Total number of CSBG eligible entities: 20 [This will automatically update based on chart in 5.1]

- 5.3. Changes to Eligible Entities List:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes. ☐ Yes ☒ No
[If yes is selected – Narrative, 2500 characters]

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: 90 percent funds are the funds a State provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A State must provide "no less than 90 percent" of their CSBG allocation, under Section 675B, to the eligible entities.

SECTION 6

Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE-developed standards.

☒ **The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)**

☐ The State will use an alternative set of organizational standards **[Attach supporting documentation if this option is selected]**

- 6.2.** If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☒ **No**

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale. **[Narrative, 2500 characters]**

- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative where applicable]**

☐ Regulation

☒ **Policy**

☒ **Contracts with eligible entities**

☐ Other, describe: **[Narrative, 2500 characters]**

- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? **[Check all that applies]**

☐ Peer-to-peer review (with validation by the State or State-authorized third party)

☒ **Self-assessment (with validation by the State or State-authorized third party)**

☐ Self-assessment/peer review with State risk analysis

☐ State-authorized third party validation

☒ **Regular, on-site CSBG monitoring**

☐ Other

6.4a. Describe the assessment process.

The Department of Human Services provides monitoring through Auditing Services Department. Each CSBG agency is reviewed for compliance annually with an on-site

team of evaluators. All eligible entities will utilize the Self-Assessment Tool to gauge internally their ability to fulfill the Organizational Standards. In addition, all eligible entities will be assessed this first year using the State Assessment Tool through full on-site monitoring to establish a baseline in their ability to fulfill the Organizational Standards as outlined in IM 138. Ongoing assessment will be completed once a year using both the Self-Assessment Tool and validated through the State using the State Assessment Tool. **In the event an agency is determined to be out of compliance, the Department of Human Services provides follow-up technical assistance that may be needed.**

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?

☐ Yes ☒ No

6.5a. If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption. **[Narrative, 2500 characters or attach document]**

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year?

Note: This information is associated with State Accountability Measures 6Sa and may pre-populate the State's annual report form.

SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1 Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

- Historic
- Base + Formula
- **Formula Alone (3 year average of poverty population)**
- Formula with Variables
- Hold Harmless + Formula
- Other **[Narrative, 2500 Characters]**

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☐ Yes ☒ No

7.2. Planned Allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Will be auto-populated from Section 5, Table 5.1, Column 1	Enter either the dollar amount or percentage for each eligible entity for the first year that this plan covers		Enter either the dollar amount or percentage for each eligible entity for the second year that this plan covers (If this is a one-year plan, these columns can be left blank)	
Total	Totals will be auto-populated		Totals will be auto-populated	
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Anderson County CAC	\$147,450.31	1.19%	\$147,450.31	1.19%
CSBG Eligible Entity	Year One	Year Two		
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Blount County CAC	\$192,636.57	1.59%	\$192,636.57	1.59%

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Bradley-Cleveland CSA	\$207,735.21	1.68%	\$207,735.21	1.68%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Chattanooga Youth and Family Development	\$626,062.31	5.05%	\$626,062.31	5.05%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Clarksville-Montgomery County CAA	\$311,302.96	2.51%	\$311,302.96	2.51%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Delta HRA	\$238,046.66	1.92%	\$238,046.66	1.92%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Douglas Cherokee Economic Authority, Inc.	\$648,864.95	5.23%	\$648,864.95	5.23%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Highland Rim Economic Corporation	\$162,297.10	1.31%	\$162,297.10	1.31%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Knoxville-Knox County CAC	\$734,453.00	5.92%	\$734,453.00	5.92%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
MAC	\$1,272,099.63	10.26%	\$1,272,099.63	10.26%

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Mid-Cumberland CAA	\$990,522.97	7.99%	\$990,522.97	7.99%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Mid-East CAA	\$174,007.36	1.40%	\$174,007.36	1.40%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Mountain Valley	\$352,797.67	2.85%	\$352,797.67	2.85%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Northwest EDC	\$538,130.03	4.34%	\$538,130.03	4.34%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Shelby County CSA	\$2,168,784.03	17.49%	\$2,168,784.03	17.49%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
South Central HRA	\$877,041.03	6.67%	\$877,041.03	6.67%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Southeast TN HRA	\$399,337.01	3.22%	\$399,337.01	3.22%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Southwest HRA	\$560,649.18	4.52%	\$560,649.18	4.52%
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Upper Cumberland HRA	\$786,385.89	6.34%	\$786,385.89	6.34%

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
Upper East TN HAD	\$1,058,305.77	8.54%	\$1,058,305.77	8.54%

- 7.3. Distribution Process:** Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

The State meets the 90% pass-through requirement by allocating 95% of available CSBG funds to local CSBG agencies. Five percent of the State's CSBG award is reserved for state level administrative costs. In compliance with 676(b)(11) no agency is funded without submission of a Community Action Plan/Needs Assessment. Funding is allocated to the CSBG agencies based on a rolling three year average of poverty data from the Census Bureau and is updated annually.

Tennessee uses no more than 5% of its CSBG award for the Department's administrative expenses including monitoring activities.

Carry-over balances are reallocated back to the same agencies at the same level. The only limitations on funding are based on federal limitation to the State by the federal government. If an agency does not provide us with a Community Action Plan, or is seriously out of compliance, we will consider exercising sanctions in accordance with the CSBG Reauthorization Act.

- 7.4. Distribution Timeframe:** Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? ☒ Yes ☐ No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption. [Narrative, 2500 Characters]

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

- 7.5. Performance Management Adjustment:** How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail. [Narrative, 2500 Characters]

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the State’s annual report form.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

- 7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. **5%**
- 7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **33**
- 7.8.** How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **7**

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

- 7.9.** Does the State have remainder/discretionary funds? ☐ Yes ☒ **No**

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, item 14.2.

Instructional Note: The assurance under 676(b)(2) of the Act (item 14.2 of this State Plan) specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Include this description in row “f” of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa; the responses may pre-populate the State’s annual report form.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	

Use of Remainder/Discretionary Funds						
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities	
	Planned \$	Planned %	Planned \$	Planned %		
a. Training/technical assistance to eligible entities	[Enter either a planned \$ or % for each item listed for the first year that this plan covers. If entering a percentage, the percentages must total 100%.]		[Enter either a planned \$ or % for each item listed second year that this plan covers. If entering a percentage, the percentages must total 100%.] [If this is a one-year plan, these columns can be left blank]		[Not Fillable] These planned services/activities will be described in State Plan item 8.1	
b. Coordination of State-operated programs and/or local programs					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.	
c. Statewide coordination and communication among eligible entities					[Optional Narrative, 2500 characters] These planned services/activities will be described in State Plan section 9, State Linkages and Communication.	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					[Narrative, 2500 characters]	
e. Asset-building programs						[Narrative, 2500 characters]
f. Innovative programs/ activities by eligible entities or other neighborhood groups						[REQUIRED Narrative, 2500 characters] Describe here or attach additional information.
g. State charity tax credits						[Narrative, 2500 characters]
h. Other activities, specify _____						[Narrative, 2500 characters]
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated		

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- ☐ Other community-based organizations
- ☐ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 2500 characters]**
- ☐ None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measures 3Sb, and will pre-populate the State's annual report form.

SECTION 8

State Training and Technical Assistance

- 8.1.** Describe the State’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.)

Note: 8.1 is associated with State Accountability Measure 3Sc and may pre-populate the State’s annual report form.

Training and Technical Assistance			
Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown options: <ul style="list-style-type: none"> FY1 – Q1 FY1 – Q2 FY1 – Q3 FY1 – Q4 FY2 – Q1 FY2 – Q2 FY2 – Q3 FY2 – Q4 Ongoing / Multiple Quarters All quarters 	Toggle Options: <ul style="list-style-type: none"> Training Technical Assistance Both 	Dropdown Options: <ul style="list-style-type: none"> Fiscal Governance/Tripartite Boards Organizational Standards – General Organizational Standards – for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) Correcting Significant Deficiencies Among Eligible Entities Reporting ROMA Community Assessment Strategic Planning Monitoring Communication Technology Other 	[Narrative, 2500 characters] If “Other” is selected in column 3, describe in this column
ADD a ROW function Note: Rows will be able to be added for each additional training			

SAMPLE: The following is a sample of how this table can be completed:

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY1 - Q1	Training	Fiscal	
FY1 - Q1	Technical Assistance	Monitoring	
FY1 - Q3	Both	Other	Conference to include but

This version of the MSP is currently under review by OMB, which may result in additional edits.

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
			T/TA
FY1 - Q4	Training	ROMA	
Choose an item.	Choose an item.	Choose an item.	

Training and Technical Assistance			
Fiscal Year (FY) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
All Quarters	Both	Fiscal	
Ongoing/ Multiple Quarters	Both	Organizational Standards -- General	
All Quarters	Both	Organizational Standards -- for eligible entities with unmet standards on Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs)	
Ongoing / Multiple Quarters	Both	Reporting	
Ongoing / Multiple Quarters	Training	ROMA	
All Quarters	Training	Technology	
Ongoing / Multiple Quarters	Both	Other	Fiscal and Program: Quarterly Calls with Community Services (CSBG, SSBG) and Fiscal
Ongoing / Multiple Quarters	Both	Other	Program Updates (As Needed)
All Quarters	Both	Other	Annual Conferences: NASCSP, CAP
Ongoing / Multiple Quarters	Both	Other	Ongoing webinars provided throughout the Network through CAP, CAPLAW, NASCSP, etc.
All Quarters	Both	Other	Case Management/Family Development Specialist Training
All Quarters	Both	Other	Tennessee Association of Community Action (TACA) Quarterly Meetings
Ongoing / Multiple Quarters		Other	Tennessee Association of Community Action (TACA) Annual Conference

- 8.1a.** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): _____ **[Prepopulated with the budget allocation for years one and two under 7.9a]**

If this is the implementation year for organizational standards, skip question 8.2.

- 8.2.** Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards, if appropriate? ☐ Yes ☒ **No**

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

- 8.3.** Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement? (Check all that apply.) **[Check all that applies and narrative where applicable]**

- ☐ **CSBG eligible entities** (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Narrative, 2500 characters]**
- ☐ Other community-based organizations
- ☒ **State Community Action association**
- ☐ Regional CSBG technical assistance provider(s)
- ☒ **National technical assistance provider(s)**
- ☒ **Individual consultant(s)**
- ☐ Tribes and Tribal Organizations
- ☐ Other **[Narrative, 2500 characters]**

If this is the first year filling out the automated State Plan, skip the following question.

- 8.4. Performance Management Adjustment:** How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measures 3Sd and may pre-populate the State's annual report form.

SECTION 9

State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. **[Check all that apply from the list below and provide a Narrative, 2500 Characters]**

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

- ☐ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☐ State Weatherization office
- ☒ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office
- ☐ State public health office
- ☐ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☒ State budget office
- ☒ Supplemental Nutrition Assistance Program (SNAP)
- ☒ State child welfare office
- ☐ State housing office
- ☐ Other

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

The State of Tennessee encourages linkage and coordination between CSBG Programs, other governmental and community partners. All programs recognize the importance of interagency planning, community organization, and coordination. Before an agency's CSBG funding proposal is accepted by our Department's staff, the agency must submit a Community Action Plan/Needs Assessment, which describes how they will address gaps in services, and create service linkages. Under the linkages service, most of the Tennessee

agencies have developed Service Directories for their communities. They are also required to list their community partners in their narrative proposal and maintain documentation of their ROMA Task Force that documents an on-going coordination of community activities.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination: Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

Every effort is made to coordinate all funding sources. Evidence of this is the inclusion of a contractual requirement on "Interagency Cooperation" in each sub-recipient grant. Under this requirement, sub-recipient agencies are directed to "structure services and participate in interagency planning and program development in order to achieve the highest level of services, coordination and integration. "

The CSBG Program is coordinated with other social services programs related to CSBG. The Director of the Community Services division directs the Community Services Block Grant (CSBG), the Social Services Block Grant (SSBG), the Child & Adult Care Food Program (CAFP), the Summer Food Program (SFP), and other special projects as identified by the Department.

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps: Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Before an agency's CSBG funding proposal is accepted by our Department's staff, the agency must submit a Community Action Plan/Needs Assessment, which describes how they will address gaps in services, and create service linkages.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities: Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? ☒ Yes ☐ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

- 9.4a** If the State selected “yes” under item 9.4, provide the CSBG-specific information included in the State’s WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

The Department will encourage and support participation in Workforce Investment Activities (WIA), and the Workforce Innovation and Opportunity Act (WIOA) as it is implemented, but will not require it at the state level. Several CSBG agencies serve as administrative agents for WIA and are fairly involved.

As the State Plan is being developed and implemented, CSBG Program Staff will actively participate in the WIOA Workgroup to identify its role and responsibilities to assure the coordination of programs and activities conducted by community action agencies and other neighborhood-based organizations in developing employment and education training activities.

- 9.4b.** If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system. **[Narrative, 2500 Characters]**

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

The CSBG, SSBG, CCFP, and SFP are all administered through the Community Services Unit of the Community and Social Services Department. Every effort is made to maximize these services.

Under Emergency Service, most agencies operate food pantries to assist with community’s needs. Additionally, most agencies use CSBG funds to expand their Emergency Food and Shelter funding.

Note: This response will link to the corresponding CSBG assurance, item 14.6.

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

Tennessee makes every effort to coordinate programs and form partnerships that will benefit the low-income population in the State. As indicated earlier, the administrative staff of the

Department is in the same section and work to make service provision seamless. This teamwork is exemplified by the uniformity of CSBG and SSBG, and eligibility requirements. That State works closely with other State Departments and programs whenever necessary in an effort to improve service delivery to the low-income community. Eligible entities have created partnerships with other agencies including local United Ways, churches, and social service agencies.

Note: this response will link to the corresponding assurance, item 14.9

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Every effort is made to coordinate all funding sources. Evidence of this is the inclusion of contractual requirement on "Interagency Cooperation" in each sub-recipient grant. Under this requirement, sub-recipient agencies are directed to "structure services and participate in interagency planning and program development in order to achieve the highest level of services, coordination, and integration."

The CSBG Program is coordinated with other social service programs related to CSBG. The Director of the Community Services division directs the Community Services Block Grant, the Social Services Block Grant Program, and other special projects as identified by the Department.

Note: this response will link to the corresponding assurance, item 14.3c.

- 9.8. Coordination among Eligible Entities and State Community Action Association:** Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The Department actively partners with the Tennessee Association of Community Action (TACA) to provide training and technical assistance in developing and implementing strategies providing them with the tools of effective community action agencies and solving the problems of poverty within the State of Tennessee. Together, we have partnered to train staff across the State in Results-Oriented Management and Accountability (ROMA), along with 12 Certified ROMA Trainers. In addition, we have been meeting quarterly to provide training, quarterly updates, and seek feedback and input from the eligible entities. In addition, our Department contributes annually to the TACA Annual Conference.

- 9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan			
Topic	Expected Frequency	Format (drop down)	Brief Description of "Other"
[Narrative, 2500 characters]	Dropdown Options: <ul style="list-style-type: none"> Daily Weekly Twice-Monthly Monthly Quarterly Semi-Annually Annually Other 	Dropdown Options: <ul style="list-style-type: none"> Newsletter Mailing Meetings/Presentation Blog Email Website Social Media Other 	[Narrative, 2500 characters] If "Other" is selected in columns 2 and/or 3, describe in this column
The Department provides meets with the eligible entities once every quarter, during the quarterly TACA meetings, and annually during the TACA Conference and Commissioner's Roundtable Meetings. Trainings and updates are provided throughout the year as needed in person or via conference calls. Throughout the year the Department forwards on information to the eligible entities highlighting agency success stories, and innovative programming, upcoming training and technical assistance available throughout the network and opportunities through grants and other resources.	<ul style="list-style-type: none"> Quarterly Annually Other 	<ul style="list-style-type: none"> Meetings / Presentation Email Website Other 	"Other" as it relates to frequency: Information is distributed within the network and from outside resources as it is received to eligible entities. "Other" as it relates to format: Information and training is distributed through conference calls.
ADD a ROW function <i>Note: As many rows that are needed will be able to be added</i>			

9.10. Feedback to Eligible Entities and State Community Action Association: Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

The Department will provide feedback annually through quarterly meetings as it reviews the National Performance Indicators (NPIs) and our ability to meet Performance Management and Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

If this is the first year filling out the automated State Plan, skip the following question.

- 9.11. Performance Management Adjustment:** How is the State adjusting the Communication plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.

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SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on-site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State’s proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State’s annual report form.

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of “Other”
Will auto-populate from item 5.1	Dropdown Options: <ul style="list-style-type: none"> • Full onsite • Newly Designated • Follow-up • Other • No review 	Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • FY2 Q1 • FY2 Q2 • FY2 Q3 • FY2 Q4 	Select a date	[Narrative, 2500 characters] If “Other” is selected in column 2, describe in this column
Anderson County Community Action Commission	Full onsite	FY1 Q.2	6/10/15-6/11/14	
Blount County CAA	Full onsite	FY1 Q.2	4/8/14; 5/7/15	
Bradley Cleveland CSA	Full onsite	FY1 Q.2	4/21/14-4/22/14	
Chattanooga Department of Youth and Family Development	Full onsite	FY1 Q.2	1/9/14; 1/27/14-1/30/14	
Clarksville-Montgomery County CAA	Full onsite	FY1 Q.2	12/4/13-12/8/13	
Delta Human Resource Agency	Full onsite	FY1 Q.2	1/7/14-1/8/14	
Douglas-Cherokee Economic Authority, Inc.	Full onsite	FY1 Q.2	12/5/13-12/17/13	
Highland Rim Economic	Full onsite	FY1 Q.2	5/28/14;	

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
Corporation			6/20/14	
Knoxville Knox County CAC	Full onsite	FY1 Q.2	12/18/13-12/30/13	
Metropolitan Action Commission	Full onsite	FY1 Q.2	4/8/15-4/22/15	
Mid-Cumberland Community Action Agency	Full onsite	FY1 Q.3	3/20/14; 4/30/14	
Mid-East CAA	Full onsite	FY1 Q.3	11/18/13-11/20/13	
Mt. Valley EOA	Full onsite	FY1 Q.3	12/18/13-12/19/13	
Northwest Tennessee EDC	Full onsite	FY1 Q.3	4/10/14; 4/14/14-4/15/14	
Shelby County	Full onsite	FY1 Q.3	4/29-4/30/15	
South Central HRA	Full onsite	FY1 Q.3	5/26/15; 7/20/15	
Southeast Tennessee HRA	Full onsite	FY1 Q.3	6/9/14; 6/12/14	
Southwest HRA	Full onsite	FY1 Q.3	6/29-6/30/15	
Upper Cumberland HRA	Full onsite	FY1 Q.3	(5/8/15)	
Upper East Tennessee Human Development Agency	Full onsite	FY1 Q.3	4/14/15; 5/8/15	

10.2. Monitoring Policies: Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. **Please see attachment.**

10.3. Initial Monitoring Reports: According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities? **30**

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings: Are State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings included in the State monitoring protocols attached above? ☐ Yes ☒ No

10.4a. If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings.

Although there is no specific State regulation for closing a State CSBG agency, Tennessee will follow guidelines established by the CSBG Reauthorization Act if this

becomes necessary. The individual agency contract documents include a term that deals with reduction of funding. This includes review by Executive level staff. Tennessee's policies and procedures for potential termination are as follows:

- a) Written notices shall be sent to the CSBG agency stating the Department intends to terminate its CSBG funding or reduce its funding level below its proportional share twenty (20) days from the date of the notice. The notice shall contain the cause of the termination and time, date, and location for a hearing on the matter, not less than ten (10) days from the date of the letter. Just cause for termination will consist of any breach of the CSBG contract by the agency.
- b) If there is a public hearing, the DHS Commissioner shall make a final decision for the Department within fourteen (14) days after the hearing. No decision shall become effective until the Secretary of the Department of Health and Human Services confirms the State's finding of cause.
- c) Training and technical assistance will be provided to at-risk agencies by DHS staff, with other appropriate agencies through contractual arrangements developed by the State.
- d) A public hearing will be held as required.

10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans? **0**

Note: The QIP information is associated with State Accountability Measures 4Sc.

10.6. Reporting of QIPs: Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

Corrective Action Plans on problems identified during the evaluation visit are provided to Community Services staff. Once our Department receives findings from Audit Services and determines that the Corrective Action Plan warrants a Quality Improvement Plan (QIP), and the Corrective Action Plan is approved, our Department will notify the Office of Community Services within 30 calendar days.

Note: This item is associated with State Accountability Measure 4Sa(iii)).

10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8), that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a

hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b).” ☒ Yes ☐ No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities. **[Narrative, 2500 Characters]**

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? ☐ Yes ☒ No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities. **[Narrative, 2500 Characters]**

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? ☐ Yes ☒ No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities. **[Narrative, 2500 Characters]**

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: Describe how the State’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The SF-425 report is based on the Edison GI 83 queries covering the period of Oct thru the following September. It includes all expenditures to the CSBG grants both indirect and direct for all departmental areas. All expenditures will have a grant specific project in this case it is CSBG. The chartfield information will explain the nature of the transaction. Payments to subrecipients have a required set up of backup documents that detail how the agency spent their funds. To ensure proper use of the funds we have monitors that visit the agencies and review the specific expenses on a test basis to ensure funds have been used properly. We also have a draw ledger of Federal funds that is kept to record the state’s reimbursement of the direct and indirect expenditures incurred in the administration of the CSBG program.

10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. **Please see attachment.**

Note: This information is associated with State Accountability Measure 4Sd.

- 10.13. Assurance on Federal Investigations:** Will the State “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? ☒ Yes ☐ No

Note: This response will link with the corresponding assurance, item 14.7

If this is the first year filling out the automated State Plan, skip the following question.

- 10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State’s analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If this State is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the State’s annual report form.

SECTION 11

Eligible Entity Tripartite Board

- 11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? **[Check all that applies and narrative where applicable]**

- ☐ Attend Board meetings
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]**

- 11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? **[Check all that applies and narrative where applicable]**

- ☒ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☐ Other **[Narrative, 2500 characters]**

- 11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

Before an agency's CSBG funding proposal is accepted by CSBG Program Staff, agency staff must submit information demonstrating that their Board of Directors complies with the requirements established by the CSBG Re-Authorization Act CSBG Program Staff and Auditing Services Staff further evaluates this requirement as part of the annual program review of each agency.

Note: This response will link with the corresponding assurance, item 14.10.

- 11.4.** Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. ☐ Yes ☒ No

- 11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

DRAFT

Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: What is the income eligibility threshold for services in the State? [Check one item below.]

- ☐ **125% of the HHS poverty line**
- ☐ X % of the HHS poverty line (fill in the threshold): _____% [insert up to a 3 digit percentage]
- ☐ Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition. [Narrative, 2500 Characters, or attachment]

Attach copy of eligibility requirements for CSBG Policy & Procedure Manual.

- (1) The Tennessee Department of Human Services partners directly with CSBG funded agencies by assisting in the verification of client eligibility determination. This is accomplished via contractual agreements with the local eligible entities through which they are granted limited access to income verification for those individuals receiving food stamps, Families First (TANF), or Medicaid assistance.
- (i) To foster self-sufficiency, the primary services provided include case management and job training/education classes. Agencies have been encouraged to work with their local DHS offices when both are serving Families First (TANF) clients. In these situations, agencies have been successful developing resources not covered by the Families First program. Some agencies have hired Families First participants in the past year.
- (ii) Under the Employment Service, some agencies have created Job Development Staff positions. This staff works closely with local businesses and agencies to develop career opportunities for their client population rather than merely placing them in existing vacant positions.
- (iii) Sub-recipient agencies that provide Education, Employment, and Self-Sufficiency Services work to improve literacy skills of the low-income families in their communities.
- (iv) Under the income management service, some agencies are providing some financial counseling to their clients either directly, with volunteers, or by paying a credit counseling agency if applicable. All of the agencies have been provided information and training on the Financial Services Education Coalition (FSEC) manual title "Helping People in Your Community Understand Basic Financial Services". Several agencies are using this material as a training resource for their clients. Several agencies have been working with the IRS to help their clients retrieve the Earned Income Tax Credit.

- (v) Under the Housing Service most agencies are completing “safety” repairs to homes that are identified during the Weatherization Program review. In this way the agencies are able to utilize much of the same staff and paperwork utilized in their companion program. Under the Income Management service, several agencies are using the CSBG funds to support the Weatherization Program. **Note: Knoxville Knox CAC**
- (vi) Eighteen (18) out of (20) agencies in 95 counties provide some level of Emergency Service. While all assist with eviction and utility shut-off notices, many assist with medical emergencies and food needs. Most of these emergency needs are handled with agency funds while networking activities provide the remainder. Several of the agencies also include a budget counseling program as a part of this service as a method to prevent further crisis situations. By screening the clients in this way, they are frequently able to identify additional client needs, develop a self-Sufficiency plan and thereby prevent another crisis.
- (vii) All agencies are required to select Community level goals based on their Needs Assessments. This determination is made at the local level.

12.2. Income Eligibility for General/Short Term Services: For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

There are two different types of services provided through the Community Services Block Grant Program - intangible services and tangible services. When an intangible service is provided, a certification period must be established at the point that eligibility is determined. For tangible services, it is sufficient to establish customer eligibility and a certification period is not required. A discussion of the two types of service follows:

1. **Tangible services** - This type of service involves the provision of a tangible benefit to an individual or a family on a one-time basis. Examples of tangible services are: providing a food order, purchasing a customer’s medicine, making a rent payment. Once the individual or family has been determined eligible, and the benefit has been provided, the service delivery process is completed. If no continuing CSBG services are being provided, the case must be closed.
2. **Intangible services** - This type of service entails the performance of services on the customer’s behalf by Community Services Block Grant agency staff. Examples of intangible services are: income management counseling, education, chore, or companionship services. Intangible services by their nature extend over a period of time; and a certification period, specifying the

length of time over which a customer will be eligible to receive services, must be established.

An eligible customer may be certified for any period of time extending up to but no longer than six months from the date eligibility was established unless all members of the household are on a fixed income and no other income is present. When all members of the household are on fixed income from Social Security benefits, SSI benefits, or other pensions with no other income, the certification period may extend up to 12 months from the date eligibility was established. When a household consists of both members having fixed income, and members having other types of income, the eligibility period cannot exceed six months. EXCEPTION: For crisis oriented emergency programs, the certification period cannot extend beyond 60 calendar days.

The effective date of eligibility is the date the customer signs the application when the declaration method is used and the date the agency worker verifies income when the verification method is used. Eligibility must not be determined retroactively.

A certification period must be established for the following programs:

- ☐ Employment
- ☐ Education
- ☐ Housing
- ☐ Income management
- ☐ Nutrition (meals, education on nutrition, counseling, etc)
- ☐ Linkages
- ☐ Self-Sufficiency
- ☐ Health

A certification period may or may not need to be established for the following programs, depending upon whether the components provided are tangible benefits or service activities performed on behalf of the customer by agency staff.

- ☐ Emergency (including homeless services)

□ Nutrition (food pantry, garden seeds and supplies)

- 12.3. Community-targeted Services:** For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities? **[Narrative, 2500 Characters]**

The Scope of Services allows for eligible entities to provide Community Organization / Brokerage/ Advocacy within each of the designated service categories to develop and implement projects which mobilize community resources to meet the needs of low-income persons to increase the community awareness, education, training, and to arrange for partnerships and coordinated initiatives.

SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

Note: This response will also link to the corresponding assurance, item 14.12.

☐ **The Results Oriented Management and Accountability (ROMA) System**

☐ Another performance management system that meets the requirements of section 678E(b) of the CSBG Act

☐ An alternative system for measuring performance and results

13.1a. If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The CSBG Policy & Procedure Manual outlines a framework for expectations for the CSBG Performance Management Framework (as listed below). In addition, the CSBG Policy & Procedure Manual provides guidance on how ROMA should be incorporated into the Community Needs Assessment and Planning process (see below).

CSBG Performance Management System Framework

Performance Management

In an effort to help the CSBG Network increase accountability and achieve results, OCS launched several initiatives in 2012. Once focused on establishing organizational standards for eligible entities. Under this effort, CSBG Network leaders developed and recommended a set of organizational standards to strengthen the capacity of the more than 1,000 eligible entities providing services across the country.

A second performance management initiative focused on enhancing the CSBG Network's performance and outcomes measurement system for local entities—identified in the CSBG Act as Results Oriented Management Accountability System (ROMA). Finally, a third initiative focused on creating State and Federal-level accountability measures to track and measure organizational performance by State CSBG Lead Agencies and OCS.

These three efforts are complementary and integrated; together they comprise a network-wide accountability and management system for CSBG. Ultimately, using these new and enhanced tools and information, the CSBG Network will make better program decisions and generate stronger results for low-income families and communities.

Information Memorandum (IM) 138—January 26, 2015

Measures--ROMA: Results Oriented Management and Accountability (Results)

The ROMA system was initiated in 1994 by a task force of federal, state, and local CSBG Network officials. ROMA provides a framework for continuous growth and improvement among local CSBG-eligible entities. In 1998, the CSBG Reauthorization Act made ROMA implementation a requirement for receiving federal CSBG funds.

An important component of ROMA is the CSBG National Performance Indicators (NPIs), which create a common set of measures to track the CSBG Network's performance with respect to services to low-income individuals, families, and communities. ROMA employs a cycle for implementation that includes community needs assessment; use of needs assessment data to identify service strategies and projected results; implementation of strategies and services; observation and report on progress; and analysis of data according to original benchmarks. The ROMA and NPI framework provides a foundation for targeting of resources based on outcomes and effectiveness of services. For more information on core activities of the State CSBG lead agencies and CSBG-eligible entities for the implementation of ROMA, see IM 49 at: <http://www.acf.hhs.gov/programs/ocs/csbg/guidance/im49.html>

As outlined in the FY16 Scope of Services The Grantee shall submit the National Association for Community Service Programs/ Information System (NASCP/IS) report on prior year services, in the format provided to the Grantee annually, no later than December 30 of the current contract year. Failure to submit the NASCP/IS report shall result in program reimbursements being withheld until the report has been received. The Grantee shall meet performance benchmarks, as defined by the State and related to National Performance Indicators. Failure to meet the performance goals will require the Grantee to submit a corrective action plan to be incorporated within the Operational Plan and approved by the State. Continued failure to meet subsequent performance goals may result in a reduction of funding or termination of contract.

Community Action Plan Based on Results Oriented Planning

Prior to determining the services to be provided, each agency must engage in a Results Oriented Planning Process. This requirement will be met by submitting the agency needs assessment and community plan prior to each new agency contract period. Needs assessments and community action plans will be due on the date as described by the State for the upcoming state fiscal year (July 1 through June 30). This process enables the agency to develop a plan for meeting the multiple needs of the target population as required by the 1994 amendments to the Community Services Block Grant. Comprehensive Needs Assessment completed every three (3) years and updated annually. The Plan must include five areas:

- a community needs assessment
- a description of the service delivery system targeted to the low-income population
- a description of how linkages are to be developed to fill gaps in services
- a description of how funding under the CSBG Act will be coordinated with other resources
- a description of the service goal(s) and national performance indicators established to determine success.

Eligible Entities will submit an annual update of the community action plan, which will prioritize the community needs based on the entity's prior comprehensive community needs assessment. The work plan will address root causes of the identified needs, gaps in services available to address the need, existing community resources, proposed interventions, and strategies or programs to address the need. The work plan will also include the Results Oriented Management and Accountability (ROMA) national goals and performance indicators to be impacted by the interventions. Eligible entities will identify action steps for each proposed strategy, intervention, or program, identified in the work plan.

13.1b. If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

- 13.2.** Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act?

Annually the Department reviews and analyzes the data submitted through the CSBG National Performance Indicators (NPIs). Monthly, agencies submit information on who they are serving, and the services being provided. Quarterly, we will begin asking agencies to report on the outcomes established through the CSBG Assessment Tool (which incorporates five (5) primary domains: Employment, Education, Income, Income Management, and Housing. In addition, throughout the year and for submission for the State Annual Report agencies submit success stories. These stories demonstrate individual, community, and agency successes.

Note: This response will also link to the corresponding assurance, item 14.12.

☐ **CSBG National Performance Indicators (NPIs)**

- ☐ NPIs and others
- ☐ Others

- 13.3.** How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

The State has revitalized its efforts in the last several years to train and implement ROMA throughout the network. The State in cooperation with TACA have mentored and trained five (5) new Certified ROMA Trainers, for a total of 12 Certified ROMA Trainers. Each of the twenty (20) eligible entities was trained throughout the year in the principles of ROMA. The

policies and procedures, along with the Scope of Services, in support with the implementation of the Organizational Standards facilitate sound performance management. As we move forward, we plan to ensure all newly hired employees receive ROMA training within the first six (6) months of being hired.

The Community Services Department recently updated the Policy and Procedures Manual for Eligible Entities for CSBG and is working closely with the Tennessee Association of Community Action to provide ROMA training to all eligible entities across the state.

In addition, Program Staff have attended several conferences throughout the year—NASCSP, CAP, CAPLaw, ICEP for Community Services State Staff and CSBG contracted agencies.

Note: The activities described under item 13.3 may include activities listed in “Section 8: Training and Technical Assistance.” If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

- 13.4. Eligible Entity Use of Data:** How is the State validating that the eligible entities are using data to improve service delivery?

Annually the State reviews and analyzes the eligible entities Community Action Plans and what they have reported through their CSBG IS Report. Monthly we receive data regarding the customers they serve, and the services they provide. Moving forward, we will be asking eligible entities to report on their outcomes, in particular, their outcomes utilizing the CSBG Assessment Tool. In addition, we plan to provide more training and technical assistance on how the NPIs, strategic thinking, and what is truly means to analyze their data.

Note: This response will also link to the corresponding assurance, item 14.12.

Community Action Plans and Needs Assessments

- 13.5.** Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

In compliance with 676(b)(11) no agency is funded without submission of a Community Action Plan/Needs Assessment. Annually eligible entities submit their Community Action Plans as outlined through their contracts and the Scope of Services.

Note: this response will link to the corresponding assurance, item 14.11.

- 13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity’s Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

In compliance with 676(b)(11) no agency is funded without submission of a Community Action Plan/Needs Assessment. As a part of their annual reporting of their Community Action Plans eligible entities are asked to report when their latest Community Needs Assessment was conducted, their findings, and how those findings impact their Community Action Plans.

The CSBG Needs Assessment provides current, reliable information about the population and the geographic area served by each agency. The Needs Assessment includes basic information, such as:

- Geographic location (counties served, problems/obstacles to service provision in any given county, i.e., changing communities, lack of jobs or transportation)
- Demographic information about the customers to be served (estimated number of poor and vulnerable customers, general population estimate, racial/ethnic composition, and disabled)
- Needs description of customers to be served (educational level, unemployment rate, job market, housing standards/needs, crime rate, nutritional needs, substance abuse, single-parent household, etc)
- Other agencies serving this population (services they provide, availability in all counties, accessibility, diversity among counties)
- Data analysis (summarized information collected for decision making)

The assessment relies heavily on baseline information in agency records and on customer board, and community surveys. Public meetings, United Way assessments, other service provider assessments, etc are utilized.

Note: this response will link to the corresponding assurance, item 14.11.

SECTION 14

CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure “that funds made available through grant or allotment will be used –

(1) Funds made available through this grant or allotment will be used:

- (a) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals—**

The Tennessee Department of Human Services partners directly with CSBG funded agencies by assisting in the verification of client eligibility determination. This is accomplished via contractual agreements with the local eligible entities through which they are granted limited access to income verification for those individuals receiving food stamps, Families First (TANF), or Medicaid assistance.

- (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);**

To foster self-sufficiency, the primary services provided include case management and job training/education classes. Agencies have been encouraged to work with their local DHS office when both are serving Families First (TANF) clients. In these situations, agencies have been successful developing resources not covered by the Families First program. Some agencies have hired Families First participants.

- (ii) to secure and retain meaningful employment;**

Under the Employment Service, some agencies have created Job Developer staff positions. The staff works with local businesses and agencies to develop career opportunities for their client population rather than merely placing them in vacant positions.

- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;

Sub-recipient agencies that provide Education, Employment, and Self-Sufficiency Services work to improve literacy skills in the low-income families in their communities.

- (iv) to make better use of available income;

Under the income management service, some agencies are providing some financial counseling to their clients either directly, with volunteers, or by paying a credit counseling agency if applicable. All of the agencies have been provided information about the "Your Money, Your Goals" financial literacy program provided through Consumer Financial Protection Bureau. Several agencies are using this material as a training resource for their clients. Several agencies have been working with the IRS to help their clients retrieve the Earned Income Tax Credit.

- (v) to obtain and maintain adequate housing and a suitable living environment;

Under the Housing Service most agencies are completing "safety" repairs to homes that are identified during the Weatherization Program review. In this way the agencies are able to utilize much of the same staff and paperwork utilized in their companion program. Under the Income Management service, several agencies are using CSBG funds to support the Weatherization program.

- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;

All twenty (20) agencies in 95 counties provide some level of Emergency Service. While all assist with eviction and utility shut-off notices, many also assist with medical emergencies and food needs. Most of these emergency needs are handled with agency funds while networking activities provide the remainder. Several of the agencies also include a budget counseling program as a part of this services as a method to prevent further crisis situations. By screening the clients in this way, they are frequently able to identify additional client costs, develop a Self-Sufficiency plan and thereby prevent another crisis.

- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships

with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –

- (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
- (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

All agencies are required to select Community level goals based on their Needs Assessments. This determination is made at the local level.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure “that funds made available through grant or allotment will be used –

- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs.

All agencies are required to select Community level goals based on their Needs Assessments. This determination is made at the local level.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Agencies are encouraged to partner with other agencies in their communities. All agencies are required to select Community level goals based on their Needs Assessments. This determination is made at the local level. Local Family

Assistance Staff are also encouraged to network with their local Community Action Agency.

State Use of Discretionary Funds

- 14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Tennessee models its services according to the format provided by the Office of Community Services (OCS) and the Monitoring and Assessment Task Force (MATF). Each agency is provided a menu of the 10 prescribed services and asked to work on each of the Six (6) National Goals. Services are provided to individuals at 125% of poverty and are provided service in all 95 counties of the State by the designated eligible entity in their community.

Eligible Entity Linkages – Approach to Filling Service Gaps

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

Through the application of ROMA principles, agencies have been encouraged to be more innovative in their approaches to address service needs in their communities.

ROMA implementation has continued to encourage agencies to think more creatively in their service approaches. Some examples of services created in the last couple of years include:

- **Bradley-Cleveland Community Services Agency** - The Agency initiated two new programs as a result of their needs assessment which appear to have produced some great results! In addition, they have increased the number of volunteers by 306% from FY12 to FY13 via the local probation/community corrections program.
 - **Employment—Jobs for Life:** Agency networked with local agencies to provide an array of services (employment training, education, case management, and transportation) to difficult to place clients (unemployed, underemployed, and chronically difficult to employ) which resulted in a 16% increase in clients who maintained employment at least 90 days.
 - **Health—Senior Life Styles Health Initiative:** Provided strategic planning, referrals, and linkages which increased access to health services by 125%.
- **Douglas-Cherokee Economic Authority** - The Lakeway Regional Teacher Externship Program hosted by Douglas-Cherokee Economic Authority, Inc. builds a bridge from education to career to help provide greater opportunities for students in the Lakeway Area. The program focuses on collaboration between education,

community leaders, and local industry, and increases workforce development programs (internships, externships, job shadowing, tours, and workshops).

- **Metropolitan Action Commission** – The agency was successful in establishing a central intake system, breaking down the silos, and establishing a new jobs program, MAC4Jobs. In addition, the agency established a successful partnership with the Criminal Court Clerk’s Office in assisting customers with the expungement of eligible criminal offenses. This was submitted to the U.S. White House by the Office of Head Start and their agency was nominated as a Champion of Change
- **Southwest Human Resource Agency** - In the spring of 2014, staff from Southwest Human Resource Agency piloted a Fatherhood to assist incarcerated fathers with skills and resources needed to improve parenting skills and support their basic needs, and find employment to prosper outside of jail. The program has since been expanded throughout each of eight counties the agency serves, and is not being expanded to the women in one of the counties.
- **Upper East Tennessee Human Development Agency** – Developed and implemented the Educational Dual Enrollment in Hancock County: The target population are teenagers enrolled in high school in Hancock County who also qualify for dual enrollment at Walter's State Community College.

Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the State will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

Under Emergency Service, most agencies operate food pantries to assist with community’s needs. Additionally, most agencies use CSBG funds to expand their Emergency Food and Shelter funding.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the State will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[No response; links to 10.7]

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the

communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3

[No response; links to item 11.3]

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

The CSBG Needs Assessment provides current, reliable information about the population and geographic area served by each agency. The Needs Assessment includes basic information, such as:

- **Geographic location (counties served, problems/obstacles to service provision in any given county, i.e., changing communities, lack of jobs or transportation)**
- **Demographic information about the customers to be served (estimated number of poor and vulnerable customers, general population estimate, racial/ethnic composition, and disabled)**

- Needs description of customers to be served (educational level, unemployment rate, job market, housing standards/needs, crime rate, nutritional needs, substance abuse, single-parent household, etc.)
- Other agencies serving population (services they provide, availability in all counties, accessibility, diversity among counties)
- Data analysis (summarized information collected for decision making)

The assessment relies heavily on baseline information in agency records and on customer board, and community surveys. Public meetings, United Way assessments, other service provider assessments, etc. are utilized.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

- 14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

[No response for this item]

- ✓ By checking this box, the State CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1 Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title

31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- ✓ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.2 Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

- ✓ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.3 Debarment

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was
- (3) placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (4) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (7) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
 - ✓ By checking this box, the State CSBG authorized official is providing the certification set out above.

15.4 Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of

the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

- ✓ By checking this box, the State CSBG authorized official is providing the certification set out above.

DRAFT